

# State of California, Secretary of State

## Minutes of the CLAIMS User's Group Meeting

November 10, 1999

Secretary of State's Office, Sacramento, CA

### **In attendance were:**

Caren Daniels-Meade, Political Reform Division  
Steve Kawano, Information Technology Division  
David Hulse, Political Reform Division  
John Keplinger, Political Reform Division  
Wayne Cox, SAIC  
Malcolm Cummings, SDR  
John Krivacic, Booz-Allen & Hamilton  
Roger Anderson, Booz-Allen & Hamilton  
Mike Shulem, Data+ Imagination  
Virginia Crespo, League of Women Voters  
Carla Wardlow, Fair Political Practices Commission  
Sunny Jung, Franchise Tax Board  
Jerry Nottleson, Franchise Tax Board  
Sheila Scally, Olson, Hagel et. al.  
Sarah Gilmer, Olson Hagel et. al.  
Diane Fishburn, Olson Hagel et. al.  
Rick Ehrlenspiel, GoldenPoint/Runforoffice.com  
Cynthia Byant, Senator Johnson  
John Lathrop, E & J Gallo Winery  
Thom Mork, E & J Gallo Winery  
Chache Brown, California Democratic Party

Distributed were a copy of CAL errata 1.03.00, and CAL Format Release/Revision 1.03.00; the errata sheet highlighted differences between CAL format 1.03.00 and CAL format 1.02.00 and CAL format 1.03.00 California File .CAL Layouts.

## Meeting Overview

Steve Kawano, Project Manager, from the Information Technology Division of the Secretary of State's Office, presented the meeting overview:

- Project Status (Steve Kawano, Wayne Cox, Dave Hulse)
  - ◆ BUILD to PRODUCTION
  - ◆ Test Filing Server
  - ◆ Disclosure Design
  - ◆ Filing Format Changes

The project team is working hard at getting the data format completed. We will be using CAL 1.03.00 revision. Some small issues have come up, however the team feels confident that this is a much better format, and does not anticipate any other significant changes to the CAL format prior to the first filing period.

NetFile is unable to attend today's meeting, however, they have sent a file in version 1.02.00, and the project team is currently working on that format.

■ **Build to Production (Steve Kawano, Wayne Cox)**

- ◆ The project is broken into three different fields; Build One, Build Two, and Build Three. Build One is close to release. Currently working on system testing and user acceptance testing in Build One; however, few bugs have been detected that need to be worked out prior to its release. The Executive Steering Committee has decided to bring Build One and Build Two into production simultaneously. Anticipate Build Two will be in production by the end of November. The system freeze on Build Two will begin November 17, and upon completion of the system testing, will move into user acceptance testing to identify any bugs that need to be addressed prior to its release. Build Three will be the final build, which will provide all of the disclosure screens, and is expected to go into full production by mid December. Anticipate total completion of the database for the electronic filings, paper filing, disclosure, designs, etc., to be available mid February.

■ **Test Filing Server (Steve Kawano, Wayne Cox)**

- ◆ The test filing server is a filing server available for vendors to test filings. Once we obtain a format from a vendor that we are confident will work, the log-in ID and passwords will be issued, which will enable the testing all the way through the database. A server is now available for users to begin sending attachments and/or e-mails.

■ **Disclosure Design (Steve Kawano, Wayne Cox)**

- ◆ David Harris (Secretary of State ITD) and Lisa Eichler (SAIC) have been reviewing the design screens for uploading time, performance, etc.

■ **Filing Format Changes (Steve Kawano, Wayne Cox, Malcolm Cummings)**

- ◆ The filing format changes, 1.03.00 (handout provided). The project team feels confident that version 1.03.00 can baseline and does not anticipate any more changes through the January 22, 2000 filing, unless unexpected issues come up. An issue has arisen concerning the lobbyist cover, 2 and 3; it appears one entity is missing -- Assistant Treasurer. Malcolm Cummings walked group through the differences as of October 14, 1999. CAL 1.03.00 Revisions (handout provided) outlines the pages that have been changed. Page 24 of the CAL format pages, Form 460, using document entitled CAL 1.03.00 revisions (handout). The first change on page 8, Entity Codes Used on Forms and Schedules; the difference from 1.02.00 is Form 460, Part 4 and Part 5, the committee, candidate and ballot measure repeat more than once. Form 460, in the upper section, box number 4, Part 4a is not listed on the form. Part 4a and Part 4b, the ballot measure box on

page 2, Part 5, the upper part repeats which is 5a and the lower part is 5b. This is to allow multiple ballot measure committees and controlling candidates. On Page 12, the underline text that indicates the values of the transaction identifier can be the same, but it doesn't have to be. Page 21 is a notation as to when to use cover to tighten up limitations and refers to part 4a and part 4b as well as 5a and 5b. The most significant change between version 1.02.00 and 1.03.00, is the cover to layout. Due to the fact that there are multiple ballot measures in part 5, it was necessary to add fields 30, 31 and 32 for the ballot name jurisdiction as well as the ballot number. Also added the proponent and ballot measure for entity values and entity code for Assistant Treasurer.

For verification on Form 460, it can be the Treasurer or Assistant Treasurer. The Ballot Measure Committee and General Purpose Committee on Form 460 is no longer an acronym (BMC and GPC). In the verification section on Form 460, it has four lines to include; Treasurer; Assistant; Controlling Officer/Candidate/Slate Measure Proponent, and/or Responsible Officer or Sponsor.

A recommendation was made by Malcolm regarding the order of the signature lines. Malcolm suggested that the signature lines be printed in the order that they are placed by the software into the CAL file. Carla indicated what each line represents, the first line is for Treasurer; the second line is for Assistant Treasurer; the other three lines are for controlling candidates or responsible officers. However, the first line could be used for the responsible officer or responsible organization that is required to sign. Carla recommended that it should be the first line or the first, second or third line. Malcolm suggested that we might need to rely on the entity code to determine where to place the signature, in which case we would need to strike out the note that reads "name will print on any forms the same order the code is". Diane Fishburn commented with respect to the signature of a responsible officer or sponsor that she would like to have it be for a general purpose committee or ballot measurer committee or primarily formed committee, not just general purpose committee.

■ Vendor Certification Process Deadlines (David Harris, Steve Kawano, Wayne Cox)

- ◆ There will be a three-stage certification process. Phase one is where software providers will be able to do an optional self test with their own data and submit to SOS where it will be evaluated by our system. Phase two is where we provide data to exercise the options and forms as well as have an automated evaluation. The automated evaluation works in two modes. All filings will be received via a filing server that will do an automated review. Additionally, the project team is discussing the CAL format to provide a utility that will run on Win 32 IBM compatible PC which will allow validation locally before it's filed in the filing server. Phase three is the final certification stage, where the Secretary of State's Office creates data which will be received via hard copy version of the forms; this data will be input by the vendor into vendor's system and the vendor will submit the filing to the filing serving in the Secretary of State's Office. Anticipate the self

validation software availability to be Friday, November 12. The project team would like to begin running filings through the system as soon as possible and encourages group to create filings with the software to determine the types of errors which occur through the validation. Once the project team receives the "start-up document", a filer ID for the filing entity will be created, and a password issued in order to upload. The print engine is current with version 1.03 and Wayne will make sure each vendor using CAL will receive it. The certification deadline for the first filing is hopefully December 22, 1999. There are four filings required for the first filing period, January 22, 2000 to January 27, 2000. Form 461, Form 460, Form 450, and Form 401. When we reach the lobbyist deadlines, we will also want the forms certified 30 days prior to deadline. Data+ Imagination will be ready to test Form 460 next week.

X12 Transaction Set 113 will not be certified by ANSI until December, therefore we may need to be more flexible with the vendor deadline. (to be discussed in more detail.) Wayne suggested to the filers that they do "due diligence" with their vendor for transaction server support.

The implementation conventions for campaign forms are complete and vendor is finishing up with the lobbyist forms. We believe that all of the IC's will be completed by the first week of December. No comments have been received on the X 12 standard as of today. If anyone has any comments/concerns, please address them to us as soon as possible, we need feedback.

■ Vendor Fair/Rollout Strategy (Steve Kawano)

- ◆ The Secretary of State's Office is discussing the possibility of providing a facility for a vendor fair to be held December 15, 1999. The fair will provide information to the filers and help get the word out. Currently discussing the possibility of using the Secretary of State's Multi-Purpose Room. In an effort to get the message out, the Secretary of State's Office has sent out a mailing to all of the county election officials, asking them to hand out a flyer when filers come in to file a Declaration of Candidacy; also intend to do a mailing to potential candidates whose names will be obtained through CALVOTER.

## COMMENTS/CONCERNS:

A concern regarding loading time of the graphics for our pages and screens was addressed. David Harris assured the users that the project team is aware that this is a sensitive issue, and the system is structured to handle 10 mg per second, which will accommodate the graphics that are used.

Diane Fishburn has several concerns regarding Form 497 and Form 498. One issue of concern is the ability to batch file. Wayne indicated the software would allow batch filing. However, an individual password and authorization for each of the individual filers would be required. Another issue arose regarding Schedule

E on expenditure codes in the database when accumulating individual financial transactions and aggregating those transactions into a single entity and reporting it on the printed form. Questions arose regarding how to display these transactions on the printed forms.

Question arose concerning contributions filed electronically and by paper; printed vs electronically filed forms, i.e. need to see how the print generator will work and if there are character limitations etc.

Question asked as to whether a conversion form translating the old expense code to the new expense code has been created. Carla Wardlow indicated that the codes have been expanded to enable more use of the codes, but the FPPC did not develop such a comparative list.

A request was made to view the end product once a document has been filed electronically during test period. Unfortunately, the information being processed is confidential and vendors may want to protect their development status. Information will only be available between the vendor and SOS for now. However, this information will be available to filers at the vendor fair. Steve clarified how the certification works, i.e. the document passes through the Secretary of State's barrier and we can accept them into our system. At the December User's Group meeting, the Secretary of State will be able to show mock-ups of the Internet screens display.

Is the Secretary of State planning to key enter the 1998/99 filings? No, however, SOS will be keying the 2000-year LCR's and revisiting other information the public would find most useful.

Since we are in the middle of a legislative session, at what point do we start filing lobbying 605's, etc.? The lobbying entities will not have to file anything electronically until May 2000, because the 605 would be amending a filing in 1999. Anything filed in 1999 that is amended in 2000 does not have to be filed electronically.

Mike Shulem asked if all of the forms are consistent in terms of signature. Carla indicated that as far as she is aware, all of the forms are consistent. However, there are forms that do not require all signatures, therefore they may only have three signature lines. Mike also brought up the issue of changing the format for signature purposes indicating it is not practical at this time from a vendor's standpoint to make any more changes. Wayne assured the group that no more changes to the filing format will be made.

Clarification was sought regarding our web site concerning the semi-annual year-end report due January 10, and using Form 460 vs Form 490. Secretary of State's Office will accept Form 490 for the January 10, 2000 filing.

Will committees need Internet connection, a modem? It will depend on the vendor's software; most likely it will be an Internet based connection or server based connection. The upload program is a TCP IP connection, which will go through a secure encryption channel.

How does the group want the ID numbers and passwords to be distributed? Some of the group does not want to know the ID numbers or passwords of their clients, but some do. No decision was made.

**Next meeting scheduled for December 9, 1999 from 10:00-12:00.**

#### Contacts

- ◆ David Hulse, Political Reform Division Project Manager  
dhulse@ss.ca.gov  
(916) 653-7043  
FAX (916) 653-5045
- ◆ Steve Kawano, IT Project Manager  
skawano@ss.ca.gov  
(916) 653-2744

Meeting adjourned at 11:25 a.m.

Respectfully submitted,

Joyce Geerling  
Executive Assistant, Political Reform Division